

NATIONAL ENDOWMENT FOR THE HUMANITIES

Summary of Fiscal Year 2002 Appropriation Request

The National Endowment for the Humanities and the Administration request an appropriation totaling \$120.504 million for NEH for fiscal year 2002:

- \$86.432 million for the Endowment's grant programs in support of high quality education, research, preservation, and public programming in the humanities and for the projects and programs of the 56 state humanities councils;
- \$10.436 million for the NEH Challenge Grants program to stimulate and match private, nonfederal donations in support of humanities institutions and organizations;
- \$1.186 million in special Challenge funds to support the establishment of Regional Humanities Centers around the country;
- \$4 million to stimulate and match nonfederal contributions to humanities projects supported by the Endowment; and
- \$18.45 million for administrative expenses necessary to operate the agency.

[Note: For a breakdown of specific funding allocations requested for the agency's grant divisions and offices, see page 10.]

Overview

In the 1965 legislation that established the National Endowment for the Humanities, the Congress of the United States declared that "encouragement and support of national progress . . . in the humanities . . . , while primarily a matter of private and local initiative, is also an appropriate matter of concern to the Federal Government." Acknowledging the federal government's interest in "promoting progress in the humanities," the 89th Congress expressed this interest in a single, powerful observation: "Democracy demands wisdom and vision in its citizens." NEH has worked conscientiously for three and a half decades to fulfill this broad mandate. By supporting high quality projects and programs in the humanities, the Endowment helps Americans develop "wisdom and vision" by expanding their knowledge of human history, thought, and culture.

By complementing and assisting private, state, and local efforts on behalf of the humanities, NEH has demonstrated conclusively over the decades that the federal government is a constructive presence in the nation's educational and cultural life. With the relatively small amount of public funds Congress makes available to the agency each year, NEH provides seed money that supports thousands of stimulating projects and programs in the humanities throughout the nation. The Endowment's grant programs are time-tested and cost-effective instruments for helping Americans expand their knowledge of the record of civilization.

The importance of NEH's mission—to advance knowledge and understanding of history, literature, languages, archaeology, philosophy, and other subject areas of the humanities—has not gone unrecognized: Since its establishment, the Endowment has received bipartisan support from every Congress and every President of the United States. This support stems from the shared belief that the humanities enable us to reflect on the ideas and events that shape us and to find meaning in our rich cultural heritage.

The Endowment also has had a remarkable track record in leveraging private support for the humanities across the country. The agency directly encourages private giving to the humanities through its authority to match donations with federal funds. Indeed, since NEH's inception, more than \$1.28 billion has been generated by our Challenge Grant program, which requires \$3 or \$4 in gifts for every NEH dollar awarded to a humanities institution. Another \$360 million has been raised in one-to-one matches for specific humanities projects supported by our other grant programs.

As NEH commemorates its 35 years of service to the nation, the Endowment and the Administration welcome this opportunity to present NEH's FY 2002 budget and program plan for the consideration of Congress. A budget totaling \$120.504 million will enable the agency to support a broad array of grant activities, including a number of fresh, new emphases that address emerging needs and opportunities in the humanities. In FY 2002 and in the years ahead, the Endowment will strive to add to its distinguished record of achievement by:

- improving the quality of humanities education offered to American school children and college students;
- providing opportunities for citizens to engage in a lifetime of learning about the nation's history and culture and the history and culture of other areas of the world;
- preserving and democratizing Americans' access to millions of brittle books, pages of historical newspapers, objects of material culture, and other important cultural and intellectual resources in the humanities;

- continuing the agency's leadership position in humanities research and scholarship and creating new opportunities for scholars to advance our knowledge and understanding of the people, ideas, and events that make up the record of civilization;
- extending the reach of the agency's programs and grant opportunities more widely throughout the country, especially to those regions and among those groups and communities that have been underserved by our national programs;
- strengthening and broadening the programs of the 56 state humanities councils; and
- enhancing the ability of the nation's cultural and educational institutions to raise nonfederal support for their humanities activities and operations.

Rediscovering America

The centerpiece of the FY 2002 NEH budget request is an agency-wide initiative, called *Rediscovering America*, that is encouraging Americans to discover anew the nation's history and culture and preserve its rich heritage for the benefit of future generations. Through this initiative, NEH is expanding its core educational mission in an effort to advance knowledge and understanding of the humanities for *all* Americans.

A major focus of *Rediscovering America* initiative is a special grant competition to establish Regional Humanities Centers throughout the country. Under this competition, NEH is helping to create regional humanities centers around the nation where American traditions, cultures, and aspirations can be explored in the context of place. At each center, a wide array of activities will use the humanities to explore the region's distinctive culture.

Another essential component of *Rediscovering America* is the set of activities we have termed *Extending the Reach*. Launched in FY 2000, this series of outreach programs is encouraging the submission of grant applications from individuals, towns, communities, regions, and institutions across the nation that have neither participated in nor benefited as fully as others from the Endowment's programs and activities. *Extending the Reach* embodies one of NEH Chairman Bill Ferris's highest priorities—to make the humanities more accessible to all Americans. The initiative also responds to expressions of Congressional interest in serving rural communities and states that have been difficult to reach.

Extending the Reach consists of two types of grant opportunities: first, grants to states or jurisdictions that have received relatively few awards in recent years or whose per capita funding from NEH is relatively low; and second, grants to historically black colleges and universities, Hispanic-serving institutions, and tribal colleges and

universities. To date, the Endowment has made over 200 grants and awarded more than \$2.6 million in grant funds in support of this effort. We have recently begun a systematic evaluation of the impact of these awards. This is in turn part of a larger effort to assess the performance of all our programs and to document the progress we are making toward achieving our strategic goals.

In addition to the Regional Humanities Centers and *Extending the Reach* programs, other *Rediscovering America* emphases planned for FY 2002 include:

- Online encyclopedias on the history and culture of each state in the nation. NEH has recently established a new grant competition that is supporting the creation of digital, online encyclopedias on the history and culture of each U.S. state, territory, and the District of Columbia. This activity is being conducted in cooperation with the state humanities councils across the nation. Once these individual state encyclopedias are established and fully operational they will serve as invaluable reference works for students, teachers, and the general public.
- Preserving the nation's recorded sound heritage. In FY 2002, the Endowment will encourage the development of projects to preserve and increase the accessibility of endangered sound recordings, particularly recordings of such music genres as folk, jazz, and the blues. For over a century, this music has been recorded on such unstable media as wax cylinders, aluminum disks, vinyl, and tape. Institutions will be encouraged to develop a range of projects designed to produce national cataloging standards, best practices for reformatting endangered materials, the education and training of persons responsible for the care of these collections, and the digitization of nationally significant collections.
- Digitizing historic U.S. newspapers. For more than two decades, the Endowment has spearheaded a national and state-by-state effort to locate and catalog all newspapers published in America since 1690. As part of this effort, 61 million pages of historically important newspaper pages have been microfilmed as a means of preserving the content of these fragile documents. In FY 2002, NEH will encourage projects to convert microfilm of historic newspapers into digital files that will be made accessible via the Internet to teachers, students, scholars, and other readers.
- Commemorating the Lewis and Clark expedition. In anticipation of the 2003 bicentennial of the Lewis and Clark expedition, in FY 2002 the Endowment's Public Programs division will support planning grants for regional projects that will explore the history and ramifications of the expedition. This effort will build upon previous awards to develop projects related to the expedition. NEH's grants will also complement the many bicentennial activities being planned by individual state humanities councils located in states along the route of the explorers.

- Assisting institutions in preserving and interpreting local history: In FY 2002, the NEH Challenge Grants program will encourage applications from institutions that play a central role in the preservation and interpretation of local history. The focus will be on smaller institutions that seek to strengthen their humanities resources in local history and to encourage new or increased donations from nonfederal sources.

The Endowment's FY 2002 budget plan also includes significant funding for grant activities that will provide assistance to institutions and individuals seeking to:

- Strengthen teaching and learning in the humanities in the nation's schools and colleges: NEH's education programs will feature a number of special emphases in FY2002 that will enhance teaching and learning of the humanities among the nation's schools and colleges. Humanities Scholars in Residence grants, for example, will be provided to schools in *Extending the Reach* states to support visits by humanities scholars and master teachers. Humanities Teacher Leadership grants will encourage participants in summer seminars and institutes to disseminate the results of their work to other teachers and schools. And support will be provided for proposals to develop content-rich and engaging humanities materials for use in after school programs for youths.
- Develop innovative humanities projects employing the new electronic technologies. In recent years, NEH has been in the forefront of efforts to promote the use of digital technology in humanities education, public programming, preservation, and research. For example, our award-winning portal to the World Wide Web, *EDSITEment*, is providing teachers, students, and parents with access to over one hundred of the best humanities resources on the Internet. Produced in cooperation with the WorldCom Foundation and the Council of the Great City Schools, the site now links humanities websites on such diverse subjects as the Congress, George Washington, and Martin Luther King, Jr. In FY 2002, the site will undergo further expansion by adding more classroom activities focusing on grades K-5, and by developing an evaluation component for each lesson plan. Similarly, in FY 2002, NEH's Schools for a New Millennium program will continue to help teachers and schools become more proficient in using new electronic tools and materials.
- Sustain and enrich lifelong learning in humanities. At the FY 2002 request level, the Endowment would maintain support for television and radio programs, museum exhibitions, and library reading and discussion programs that help Americans engage in a lifetime of learning. These activities will be enhanced by a variety of special emphases, such as small Consultation Grants to organizations that have not previously received an NEH grant; modest grants to small- to mid-sized museums to assist them in mounting traveling

versions of successful NEH-funded exhibitions; and small grants to individual public libraries enable them to take part in exemplary programs offered by national organizations and major institutions.

- Advance our knowledge and understanding of the humanities: The FY 2002 budget request will allow NEH to continue its traditional role as the major source of support for advanced research and scholarship in the humanities. The products of these grants annually result in the publication of hundreds of books and articles, many of which have won Pulitzer Prizes and other prestigious national awards. In recent years, projects have increasingly produced their results in the form of electronic formats, such as interactive World Wide Web sites or searchable databases on CD-ROM; such innovative applications of computer technology in humanities research will continue to be encouraged through NEH's grant-making programs. In FY 2002, we also plan to re-establish a discrete grant category for scholarly editing projects, such as the collected papers of U.S. presidents and other significant figures in the nation's history and culture.
- Preserve and increase the availability of cultural and intellectual resources for the American people: In addition to special emphases discussed previously—online state encyclopedias, preserving the nation's recorded sound heritage, and digitizing historic U.S. newspapers—the Endowment's preservation and access effort in FY 2002 will continue to focus on microfilming brittle books and U.S. newspapers; helping institutions maintain and stabilize their fragile material culture collections; preserving important archives and special collections; providing preservation education and training opportunities; and creating research tools and reference works such as dictionaries, encyclopedias, and bibliographies. As part of the agency-wide *Extending the Reach* initiative, in FY 2002 we will also continue NEH's new program of "preservation assistance grants" to small libraries, museums, and other institutions in support of their special preservation and training needs.
- Maintain and strengthen the programs and activities of the state humanities councils: NEH's work in FY 2002 will be complemented and supplemented by the local programming of the 56 state humanities councils. In recent years, the recasting of our relationship with the councils into a true Federal/State Partnership has presented fresh opportunities for the *National* Endowment for the Humanities to work with individual humanities councils in the states to design thoughtful and stimulating programming for all the nation's citizens. As befits this special partnership, the active participation of the state humanities councils has been crucial to the success of NEH's *Rediscovering America* initiative. State councils have been involved in the planning phase of the overall initiative and will also be given special encouragement to participate in the work of the Regional Humanities Centers NEH will be helping to establish around the country. In FY 2002, the state humanities councils will be encouraged to continue their efforts to reach more of their

citizens by developing partnerships with libraries, historical societies, archives, museums, and state centers for the book.

- Strengthen the institutional base of the humanities: The NEH Challenge Grants program in FY 2002 will continue to assist nonprofit institutions in developing new sources of long-term support for their humanities programs. NEH challenge grants are widely recognized for their success in encouraging private giving to the humanities.

Building New Partnerships

In addition to strengthening its collaborative relationship with the 56 state humanities councils, the Endowment is committed to developing viable partnerships with other institutions and organizations to advance the humanities and to supplement the federal funds Congress provides to the agency. Recent successes in forging partnerships and in raising nonfederal funds for NEH projects and programs include:

- A \$2.5 million gift from the John S. and James L. Knight Foundation in support of the Regional Humanities Centers initiative. Previously, \$1 million in funds had been secured from nonfederal sources for awards made during the planning phase of the initiative.
- A gift of \$1 million from the Carnegie Corporation of New York to establish a program in partnership with The Library of America and the American Library Association to help small public libraries enrich their collections of great American literature and history.
- A renewed commitment in the amount of \$700,000 from the WorldCom Foundation to strengthen our partnership, along with the Council of the Great City Schools, in support of the *EDSITEment* website, one of the nation's premier Internet resources for humanities education.
- A programmatic partnership with the National Park Service in support of a number of joint projects, including the installation of wayside exhibits on Presidents Washington, Jefferson, Lincoln, and Theodore Roosevelt at the Mount Rushmore National Memorial in South Dakota.
- A series of gifts from the Geraldine R. Dodge Foundation in New Jersey for two pilot education programs for New Jersey teachers: Humanities Teacher Leadership grants and Humanities Scholars in Residence grants. In FY 2002, the Endowment will expand these programs to teachers in the rest of the nation.
- A partnership with the Corporation for Public Broadcasting in support of a new program of Digital Parallel Production Grants that are encouraging

filmmakers to use computer technology to design digitally enhanced television programs in the humanities.

- A “Memorandum of Understanding” with the Agency for Healthcare Research and Quality (of the Department of Health and Human Services) in support of joint research fellowships that will bring the humanities disciplines to bear on topics related to health care.
- NEH joined with the Historical Society of Washington, D.C, the Washington Area Metropolitan Transit Authority (WMATA), the Washington Convention Center Authority, and the DC Heritage Tourism Coalition in a citywide heritage tourism and economic development partnership. This partnership resulted in the publication of *Beyond the Monuments*, an annotated map about Washington’s neighborhood cultural resources. This educational tool, which WMATA distributes along with eleven complementary brochures, encourages Washington’s over 20 million annual visitors to explore and participate in the city’s rich cultural resources.

In FY 2002, the Endowment will continue to build partnerships with other federal agencies—such as the Department of Education, the National Science Foundation, and the Library of Congress—as well as with nonfederal institutions and organizations. These partnerships represent important opportunities to broaden the reach of the humanities in significant and enduring ways.

While the Endowment will continue to seek new partnerships and new sources of funding, particularly funding from the private sector, we hasten to point out that such funding could never serve as more than a small complement to federal support for the humanities. Studies show that the private sector could not and would not fill the financial void if NEH’s federal funding were to decline significantly or cease altogether. This reality dramatizes the need for a continuing federal role and underscores why the nation is wise to maintain a vigorous federal presence in the cultural life of America.

In yet another effort to foster partnerships and to bring into greater focus the Endowment’s wide-ranging initiatives and emphases, NEH Chairman Bill Ferris established four agency-wide working groups organized around broad thematic areas—“Regional America,” “Teaching and Lifelong Learning,” “Humanities, Science, and Technology,” and “Humanities in an International Context.” The agency recently issued a compendium of the reports of the working groups, which document the agency’s record of achievement in these areas and propose new avenues that could be pursued in the future. A number of the working groups’ recommendations for new initiatives and partnerships have been integrated into the agency’s FY 2002 budget request. In addition, a small amount of FY 2001 and FY 2002 program funding has been reserved under the Program Development line in our budget to help support programming initiatives that have emerged from the work of these groups.

Strategic and Performance Planning

The Endowment's interest in forging partnerships with other public and private institutions is one of our major strategic objectives. In 1997, NEH adopted a multi-year strategic plan that identified a set of long-term goals and objectives for the agency and outlined various strategies for achieving them. Developed in accordance with provisions and requirements of the Government Performance and Results Act of 1993 (GPRA), this plan has served as the agency's blueprint for all of its programs and operations. In the summer of 2000, the plan was updated to cover the years 2001-2005; this new plan has in turn been instrumental in helping NEH shape its FY 2002 Congressional budget request.

For the past three years, the Endowment has also developed annual performance plans that set forth goals and indicators at the level of funds requested each year. In April 2000, we also submitted our first GPRA performance report, which compared the performance levels anticipated for FY 1999 in the annual performance plan with the performance outcomes that were actually achieved in FY 1999. NEH's performance plan for FY 2002, which is keyed to the \$120.504 million request and covers each program and grant activity proposed in the budget, was included in the agency's formal Congressional budget request.

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Summary of FY 2002 Request (in thousands of dollars)

	<u>FY 2000</u> <u>Approp.</u>	<u>FY 2001</u> <u>Estimate</u>	<u>FY 2002</u> <u>Request</u>
Federal/State Partnership	\$29,160	\$30,593	\$30,593
Education Programs	11,702	12,075	12,075
Preservation and Access	18,328	18,288	18,288
Public Programs	11,588	12,560	12,560
Research Programs	11,547	12,519	12,519
Program Development	<u>398</u>	<u>397</u>	<u>397</u>
Subtotal	82,723	86,432	86,432
Challenge Grants	10,259	10,436	10,436
Regional Humanities Centers	797	1,186	1,186
Treasury Funds	<u>4,000</u>	<u>4,000</u>	<u>4,000</u>
Subtotal	97,779	102,054	102,054
Administration	<u>17,481</u>	<u>17,941</u>	<u>18,450</u>
Total	\$115,260	\$119,995	\$120,504